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PTO/SB/21 (08-00)

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# TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number **09/998,332**

Filing Date **12/3/01**

First Named Inventor **Paul Norris**

Group Art Unit **2161**

Examiner Name

Total Number of Pages in This Submission

Attorney Docket Number **37540-00608**

## ENCLOSURES (check all that apply)

- ☐ Fee Transmittal Form
- ☐ Fee Attached
- ☐ Amendment / Reply
- ☐ After Final
- ☐ Affidavits/declaration(s)
- ☐ Extension of Time Request
- ☐ Express Abandonment Request
- ☒ Information Disclosure Statement
- ☐ Certified Copy of Priority Document(s)
- ☐ Response to Missing Parts/Incomplete Application
- ☐ Response to Missing Parts under 37 CFR 1.52 or 1.53

- ☐ Assignment Papers (for an Application)
- ☐ Drawing(s)
- ☐ Licensing-related Papers
- ☐ Petition
- ☐ Petition to Convert to a Provisional Application
- ☐ Power of Attorney, Revocation Change of Correspondence Address
- ☐ Terminal Disclaimer
- ☐ Request for Refund
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- ☐ After Allowance Communication to Group
- ☐ Appeal Communication to Board of Appeals and Interferences
- ☐ Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
- ☐ Proprietary Information
- ☐ Status Letter
- ☒ Other Enclosure(s) (please identify below):

**Copies of five (5) cited references.**

Remarks

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**JOHN N. COULBY/JAMIE M. LARMAN, Reg. Nos. 43,565/48,623**

Signature

Date

**April 22, 2002**

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Re: U.S. Patent Application No. 09/998,332  
For: REPURCHASE AGREEMENT LENDING FACILITY  
Our Reference: 37540-00608

Dear Sir:

Transmitted herewith for filing in the United States Patent and Trademark Office are the following documents:

- (1) Transmittal Form; and
- (2) Information Disclosure Statement, and copies of five (5) cited references.

This Information Disclosure Statement is being submitted within three months of the filing date or before the mailing of a first Office Action on the merits. No certification or fee is required.

Sincerely yours,

JOHN N. COULBY, Reg. No. 43,565  
JAMIE M. LARMANN, No. 48,623

Enclosures

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Substitute for form 1449B/PTO		<b>Complete if Known</b>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)		Application Number	09/998 332
		Filing Date	12/3/01
		First Named Inventor	Paul Norris
		Group Art Unit	2161
		Examiner Name	
Sheet 1 of 1	Attorney Docket Number	37540-00608	

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS			
Examiner Initials	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T <sup>2</sup>
		U.K. DEBT MANAGEMENT OFFICE, Response to DMO Consultation Document on "Special" Gilt Repo Operations, Feb. 2000, London, U.K.	
		U.K. DEBT MANAGEMENT OFFICE, DMO Policy Regarding "Special" Gilt Repo Operations, Sept. 17, 1999, London, U.K.	
		U.K. DEBT MANAGEMENT OFFICE, Official Operations in the Gilt Edged Market, Sept. 1999, London, U.K.*	
		FEDERAL RESERVE BANK OF NEW YORK, Announcement of Revisions to the SOMA Securities Lending Program, Feb. 12, 1999	
		FEDERAL RESERVE BANK OF NEW YORK, SOMA Securities Lending Program Analysis of Public Comments, Attachment II to Announcement of Revisions to the SOMA Securities Lending Program, Feb. 12 1999	
		FEDERAL RESERVE BANK OF NEW YORK, SOMA Securities Lending Program Terms and Conditions (revised), Sept. 7, 1999	
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<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.

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